

12/14/01

JC860 U.S. PTD

12-18-01

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	ST-99-AD-037
First Inventor	Allen
Title	Disk Controller Providing for the Auto-Transfer of Host-Requested-Data from a Cache Memory Within a Disk Memory System
Express Mail Label No.	EL 000 623 408 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: U.S. Patent and Trademark Office
P.O. Box 2327
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BOX PATENT APPLICATION

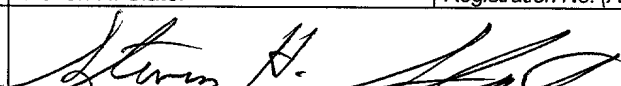
1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
 2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
 3. ☒ Specification [Total Pages (preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
 4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets - 5. Oath or Declaration [Total Sheets - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18 If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____
Prior application information: Examiner _____ Group Art Unit: _____**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label  or ☐ Correspondence address below
(Insert Customer Number or Bar Code Label here)

Name	30432			
	PATENT TRADEMARK OFFICE			
Address				
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Country		Telephone		Fax

Name (Print/type)	Steven H. Slater	Registration No. (Attorney/Agent)	35361
Signature		Date	14 DEC 2001

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**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

Complete if Known

Application Number	TBD
Filing Date	December 14, 2001
First Named Inventor	Allen
Examiner Name	TBD
Group Art Unit	TBD
Attorney Docket No.	ST-99-AD-037

TOTAL AMOUNT OF PAYMENT (\$)**1296.00****METHOD OF PAYMENT**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit
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Account
Name

50-1065

Slater & Matsil, L.L.P.

☒Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17Applicant claims small entity status.
See 37 CFR 1.272. ☒

Payment Enclosed:

☒

Check

☐ Credit Card☐ Money
Order☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$)**740.00****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
30	-20**= 10 X	18.00	180.00
7	-3**= 4 X	84.00	336.00

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)**516.00**

** or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

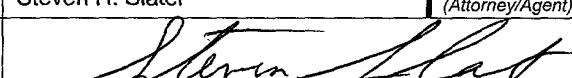
Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)**40.00****SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)	Steven H. Slater	Registration No. (Attorney/Agent)	35361	Telephone	972-732-1001
Signature		Date	14 DEC 01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant commissioner for Patents, Washington, DC 20231.

The first of these is the fact that the
 government has been unable to raise
 sufficient revenue to meet its obligations.
 This is due to a number of causes,
 including the depreciation of the currency,
 the loss of tax revenue, and the increase
 in public expenditure. The second cause
 is the fact that the government has been
 unable to secure foreign loans on favorable
 terms. This is due to the general
 economic depression which has prevailed
 since the war. The third cause is the
 fact that the government has been unable
 to reduce its expenditures sufficiently to
 balance its budget. These three causes
 have led to the accumulation of a large
 public debt, which is now estimated at
 over \$100,000,000. The fourth cause
 is the fact that the government has been
 unable to pay its interest on the foreign
 loans it has contracted. This has led to
 the suspension of payments, which has
 further increased the public debt. The
 fifth cause is the fact that the government
 has been unable to reform its financial
 system. This has led to the continued
 accumulation of the public debt, and to
 the general economic depression which
 has prevailed since the war.

For: Disk Controller Providing for the Auto-Transfer of Host-Requested-Data from a Cache Memory Within a Disk Memory System

Certificate of Mailing via Express Mail

EXPRESS MAIL mailing label number: EL 000 623 408 US

Date of Deposit: December 14, 2001

I hereby certify that the following documents, which are enclosed, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: BOX: Patent Application, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202:

- Utility Patent Application Transmittal (1 page)
- Preliminary Amendment (3 pages)
- Complete Copy of Patent Application (37 pages), to include:
 - Specification (32 pages)
 - Formal Drawings (5 pages)
- Declaration and Power of Attorney (1 page)
- Assignment Recordation Cover Sheet (1 page)
- Copy of Original Signed Assignment (2 pages)
- Fee Transmittal (1 original and 1 copy)
- Return Postcard

Respectfully submitted,

Haren Fabricius

Karen D. Fabritiis
Legal Assistant

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